

SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Evelyn et al. Attorney Docket: 2955/103
 Serial No: 09/668,255 Art Group Unit: 3624
 Date Filed: September 21, 2000 Examiner Name: Colbert, E.
 Invention: System and Method for Pricing and Allocation of Commodities or Securities

**LIST OF PATENTS AND PUBLICATIONS FOR
 APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

| U.S. PATENT DOCUMENTS | | | | | |
|------------------------------|-------------------------|------------------------|-------------------|-------------------|-----------------------|
| Examiner Initials | Reference Number | Document Number | Issue Date | Inventor | Class/Subclass |
| <i>JL</i> | 91 | US 2001/0034692 A1 | 10/25/01 | McRedmond | |
| <i>JL</i> | 92 | US 6,629,081 B1 | 9/30/03 | Hambrecht, et al. | 705/37 |

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| Examiner Initials | Reference Number | Country Code | Document Number | Publication Date | Patentee or Applicant | Class/Subclass |
| <i>JL</i> | 93 | WO | 00/51047 A2 | 08-2000 | Cinelli et al. | G06F 17/60 |

| OTHER DOCUMENTS | | | |
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| Examiner Initials | Reference Number | Author | Title of Article, Title of Journal, Volume Number, Page Numbers, Date |
| <i>JL</i> | 94 | Sarah Stirland | <i>"Wall Street Is Rattled by Software That Can Remake Competitive Deals"</i> , The Bond Buyer, Aug. 21, 1996, pg. 1 |
| <i>JL</i> | 95 | Fujishima, Yuzo, et al., | <i>"Speeding Up Ascending-Bid Auctions"</i> , Stanford University, Stanford, CA, pgs. 1-6. |
| <i>JL</i> | 96 | Milgrom, Paul | <i>"Putting Auction Theory to Work: The Simultaneous Ascending Auction"</i> , Dept. of Economics, Stanford University, December 8, 1997, revised April 21, 1999, pgs. 1-25. |
| <i>JL</i> | 97 | | U.S. Securities and Exchange Commission, Proposed Rule: Defining the Term "Qualified Purchaser" under the Securities Act of 1933, Release No. 33-8041; File No. S7-23-01 |
| <i>JL</i> | 98 | Epstein, Lee | <i>"Newcomers Guide to the Dutch Auction Process (Securities Auctions)"</i> , <u>Corporate Cashflow Magazine</u> , Vol. 11, No. 3, pg. 42(2), March 1990. |

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| <i>gc</i> | 99 | F. T. McCarthy | <i>"PopNet Float Shows up the Flaws," The Financial News, February 7, 2000, 2 pages</i> |
| <i>gc</i> | 100 | John M. Dalton, Editor | <i>"The Initial Public Offering," How the Stock Market Works, John M. Dalton, Editor, 1993, NYIF Corp., Second Edition, pgs. 33-60.</i> |
| <i>gc</i> | 101 | John Downes and John Elliot Goodman | <i>Dictionary of Finance and Investment Terms, 1998, Fifth Edition, pgs. 132, 243, 600, 275.</i> |
| <i>gc</i> | 102 | David Landes | Letter dated August 16, 1996, from David V. Landes to Dan Veres, with attachment |
| | 103 | | IPO: Robertson, Hambrecht tap into the Net |

Examiner Signature: J. Collette

Date Considered: 10/11/05

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.